



IPW

TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

		Application No.	10/750,066
		Filing Date	December 30, 2003
		First Named Inventor	Gregor K. Frey
		Art Unit	2122
		Examiner Name	UNASSIGNED
Total Number of Pages in This Submission	29	Attorney Docket Number	6570P051

ENCLOSURES (check all that apply)

<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert a Provisional Application	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	<input type="checkbox"/> Proprietary Information
<input checked="" type="checkbox"/> Information Disclosure Statement <input checked="" type="checkbox"/> PTO/SB/08	<input type="checkbox"/> Request for Refund	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s)	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Basic Filing Fee <input type="checkbox"/> Declaration/POA	<div style="border: 1px solid black; padding: 5px;"> Cited articles enclosed. Return postcard. </div>	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<div style="border: 1px solid black; padding: 5px;"> Remarks </div>	

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name	Robert B. O'Rourke, Reg. No. 46,972 BLAKELEY, SOKOLOFF, TAYLOR & ZAFMAN LLP
Signature	
Date	1/27/05

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Signature	
Date	2-8-05



FEE TRANSMITTAL for FY 2005

Patent fees are subject to annual revision.

Applicant claims small entity status. See 37 CFR 1.27.

TOTAL AMOUNT OF PAYMENT (\$)

Complete if Known	
Application Number	10/750,066
Filing Date	December 30, 2003
First Named Inventor	Gregor K. Frey
Examiner Name	Unassigned
Art Unit	2122
Attorney Docket No.	6570p051

METHOD OF PAYMENT (check all that apply)

- Check Credit card Money Order None Other (please identify): _____
 Deposit Account Deposit Account Number: 02-2666 Deposit Account Name: Blakely, Sokoloff, Taylor & Zafman LLP

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

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 Charge any additional fee(s) or underpayment of fee(s) Credit any overpayments
 under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20.

FEE CALCULATION

Large Entity Small Entity

Fee Code(\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1051	130	2051	65 Surcharge - late filing fee or oath	
1052		2052	Surcharge - late provisional filing fee or cover sheet.	
2053		2053	Non-English specification	
1251		2251	Extension for reply within first month	
1252		2252	Extension for reply within second month	
1253		2253	Extension for reply within third month	
1254		2254	Extension for reply within fourth month	
1255		2255	Extension for reply within fifth month	
1401		2401	Notice of Appeal	
1402		2402	Filing a brief in support of an appeal	
1403		2403	Request for oral hearing	
1451		2451	Petition to institute a public use proceeding	
1460		2460	Petitions to the Commissioner	
1807		1807	Processing fee under 37 CFR 1.17(q)	
1806		1806	Submission of Information Disclosure Stmt	
1809		1809	Filing a submission after final rejection (37 CFR § 1.129(a))	
1810		2810	For each additional invention to be examined (37 CFR § 1.129(b))	

Other fee (specify) Submission of IDS prior to receiving first office action.

0.00

SUBTOTAL (2)

(\$)

0.00

SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	Robert B. O'Rourke	Registration No. (Attorney/Agent)	46,972	Telephone	(408) 720-8300
Signature				Date	1/27/05



FEE TRANSMITTAL for FY 2005

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Applicant claims small entity status. See 37 CFR 1.27.

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under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20.

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1810		2810		For each additional invention to be examined (37 CFR § 1.129(b))	

Other fee (specify) Submission of IDS prior to receiving first office action.

0.00

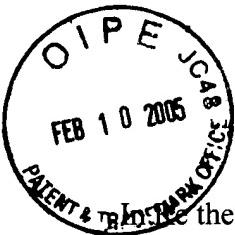
SUBTOTAL (2)

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SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	Robert B. O'Rourke	Registration No. (Attorney/Agent)	46,972	Telephone	(408) 720-8300
Signature				Date	1/27/05



Docket No.: 6570P051

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

File the Application of:

GREGOR K. FREY, ET AL.

Application No.: 10/750,066

Filed: December 30, 2003

For: **System and Method Employing Bytecode
Modification Techniques For Tracing
Services Within An Application Server**

Art Group: 2122

Examiner: Unassigned

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

In accordance with the duty of disclosure, enclosed is a copy of IDS Citation Form PTO/SB/08 or PTO-1449, together with copies of the documents cited on that form, except for copies not required to be submitted (e.g., copies of U.S. patents and U.S. published patent applications need not be enclosed). This IDS and IDS Citation Form are being submitted before the mailing of a first Office Action. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

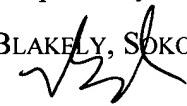
The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

Please charge any fees due to Deposit Account 02-2666. A duplicate copy of the Fee Transmittal (PTO/SB/17) is enclosed for this purpose.

Date: 1/27/05

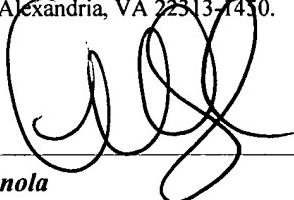
Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP


Robert B. O'Rourke, Reg. No. 46,972

12400 Wilshire Boulevard, 7th Floor
Los Angeles, CA 90025
Telephone: (408) 720-8300

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Carla Vignola


Date

Examiner Signature		Date Considered	
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This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS.

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STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

FEB 10 2005

Sheet

2

of

3

Application Number

10/750,066

Filing Date

12-30-2003

First Named Inventor:

Gregor K. Frey, et al.

Art Unit

2122

Examiner Name

Unassigned

Attorney Docket Number

006570.P051

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
		IAN WELCH, et al., "Kava- A Reflective Java Based on Bytecode Rewriting" SpringerLink –Verlag Berling Heidelberg 2000, Chapter, Lecture Notes in Computer Science, W. Cazzola, et al. Editors, Reflection and Software Engineering, LNCS, pages 155-167.	
		Wily Technology, Inc., Wily Solutions "How Introscope® Works" – Enterprise Application Management, http://www.wilytech.com/solutions/products/howWorks.html , 1999-2004, printed 7/2/2004 (1 page).	
		BEN STEPHENSON, et al., "Characterization and Optimization of Java Applications" Department of Computer Science, Abstract in Western Research Forum Program & Abstracts, page 20, 2003.	
		Wily Technology, Inc., Wily Solutions "Wily Introscope®" – Enterprise Application Management, http://www.wilytech.com/solutions/products/introscope.html , 1999-2004, printed 7/2/2004 (2 pgs.).	
		Sun Microsystems, Java – J2EE 1.4 Application Server Developer's Guide, "Debugging J2EE Applications" Chapter 4, http://java.sun.com/j2ee/1.4/docs/devguide/dgdebug.html , 2003, printed 7/2/2004 (11 pgs.).	
		Wily Technology, Inc., Wily Technology, Inc., Wily Solutions "The Wily 5 Solution – Enterprise Applications are Your Business", http://www.wilytech.com/solutions/ibm_family.html , 1999-2004, printed 7/2/2004 (2 pgs.)	
		AJAY CHANDER et al., "Mobile Code Security by Java Bytecode Instrumentation", Proceedings of the DARPA Information Survivability Conference & Exposition DISCEX-II 2001, June 12-14, 2001, Stanford University and University of Pennsylvania, [*Partially supported by DARPA contract N66001-00-C-8015 and ONR grant N00014-97-1-0505] (14 pgs.)	
		Mobile-Code Security Mechanisms for Jini – "Mobile-Code Security Mechanisms for Jini" Download code, DISCEX 2001 Paper, http://theory.stanford.edu/people/jcm/software/jinifilter.html , printed 7/2/2004 – (3 pgs.)	
		ALLEN GOLDBERG, et al., "Instrumentation of Java Bytecode for Runtime Analysis", Fifth ECOOP Workshop on Formal Techniques for Java-like Programs, July 21, 2003, Kestrel Technology, NASA Ames Research Center, Moffett Field, California USA, (9 pgs.).	
		ALGIS RUDYS, et al., "Enforcing Java Run-Time Properties Using Bytecode Rewriting", International Symposium on Software Security (Tokyo, Japan), November 2002, Rice University, Houston, TX 77005, USA (16 pgs.).	
		HAN BOK LEE, et al., "BIT: A Tool for Instrumenting Java Bytecodes", originally published in the Proceedings of the USENIX Symposium on Internet Technologies and Systems, Monterey, California, December 1997, www.usenix.org/ (11 pgs.).	

Examiner Signature		Date Considered	
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FEB 10 2005

Sheet

3

of

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First Named Inventor:	Gregor K. Frey, et al.
Art Unit	2122
Examiner Name	Unassigned
Attorney Docket Number	006570.P051

NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²
		REINHOLD PLÖSH, Johannes Kepler University Linz, Austria, "Evaluation of Assertion Support for the Java Programming Language", JOT: Journal of Object Technology, Vol. 1, No. 3, Special issue: TOOLS USA 2002 Proceedings, pp. 5-17, http://www.jot.fm/issues/issue_2002_08/article1	
		ETIENNE GAGNON, et al., "Effective Inline-Threaded Interpretation of Java Bytecode Using Preparation Sequences", Sable Research Group, Université du Québec à Montréal and McGill University, Montreal, Canada, January 2003 (15 pgs.).	
		GEOFF A. COHEN, et al., Software-Practice and Experience, [Version: 2000/03/06 v2.1] "An Architecture for Safe Bytecode Insertion", Department of Computer Science, Duke University (27 pgs.)	
		REYNALD AFFELDT, et al., "Supporting Objects in Run-Time Bytecode Specialization", Department of Graphics and Computer Science, University of Tokyo, ASIA-PEPM '02, September 12-17, 2002, ACM, pp. 50-60.	
		NATHAN MACRIDES, Security Techniques for Mobile Code "SANS Security Essentials (GSEC) Practical Assignment Version 1.4", July 11, 2002, (11 pgs.)	
		DYLAN McNAMEE, et al., "Specialization Tools and Techniques for Systematic Optimization of System Software", Oregon Graduate Institute of Science & Technology, and University of Rennes/IRISA, ACM Transactions on Computer Systems, 2001 (30 pgs.)	
		WEN LI, et al., "Collaboration Transparency in the DISCIPLE Framework", CAIP Center, Rutgers – The State University of New Jersey, Piscataway, NJ, USA, Proceeding of the ACM International Conference on Supporting Group Work (Group '99) November 14-17, 1999, Phoenix, AZ, (10 pgs.)	
		JONATHAN DAVIES, et al., Proceedings of the 2nd international conference on "An Aspect Oriented Performance Analysis Environment", 10 pgs., 2003, Boston, Massachusetts March 17 - 21, 2003.	
		PETER W. GILL, "Probing for a Continued Validation Prototype", a Thesis Submitted to the Faculty of the Worcester Polytechnic Institute, May 2001, (111 pages)	

Examiner Signature		Date Considered	
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